

FORM PTO-1449

U.S. DEPARTMENT OF
COMMERCE
PATENT AND TRADEMARK
OFFICE

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

ATTY. DOCKET NO.
CAAC/1 CIP

APPLICATION NO.
09/972,163

APPLICANT
Donald F. Albert et al.

CONFIRMATION
NO.
5897

FILING DATE
October 4, 2001

GROUP
1771

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2,680,696	06/08/54	Broge			
	4,239,567	12/16/80	Winings			
	4,243,717	01/06/81	Gahmig			
	4,402,927	09/06/83	von Dardel et al.			
	4,610,863	09/09/86	Tewari et al.			
	4,832,881	05/23/89	Arnold, Jr., et al.			
	4,873,218	10/10/89	Pekala			
	4,997,706	03/05/91	Smits et al.			
	5,190,987	03/02/93	Parkinson			
	5,229,429	07/20/93	Hahn et al.			
	5,358,802	10/25/94	Mayer et al.			
	5,420,168	05/30/95	Mayer et al.			
	5,476,878	12/19/95	Pekala			
	5,538,931	07/23/96	Heinrichs et al.			
	5,525,643	06/11/96	Macip-Boulis et al.			
	5,529,971	06/25/96	Kaschmitter et al.			
	5,556,892	09/17/96	Pekala			
	5,565,142	10/15/96	Deshpande et al.			
	5,654,345	08/05/97	Grinshpun et al.			
	5,686,031	11/ 11/97	Coronado et al.			
	5,744,510	04/28/98	Pekala			
	5,795,557	08/18/98	Pajonk et al.			
	5,811,031	09/22/98	Jansen et al.			
	5,851,947	12/22/98	Hair et al.			
	5,869,544	02/09/99	Shmidt et al.			
	5,889,071	03/30/99	Biesmans et al.			
	5,945,084	08/31/99	Droege			
	5,958,363	09/28/99	Coronado			
	5,958,589	09/28/99	Glenn et al.			
	6,077,876	06/20/00	Mendenhall et al.			
	6,121,337	09/19/00	Hammel et al.			

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

U.S. DEPARTMENT OF
COMMERCE
PATENT AND TRADEMARK
OFFICE

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

ATTY. DOCKET NO.
AAC/1 CIP

APPLICANT
Donald F. Albert et al.

FILING DATE
October 4, 2001

APPLICATION NO.
09/972,163

CONFIRMATION
NO.
5897

GROUP
17

	6,147,134	11/14/00	Eling		
	6,187,831	02/13/01	Miller et al.		

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	FR 2,230,406 A	12/12/74	France	B01J	1/22		X
	JP 02092860	04/03/90	Japan	C04B	35/00	X Abstract only	
	WO 99/32218	07/01/99	PCT	B01J	13/00	X	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Lawrence Livermore National Labs Materials, Science Bulletin UCRL-TB-117598-37.
	Materials Research Society Bulletin, vol. 15, no. 12 (December 1990).
	G. Carlson et al., "Aerogel Commercialization: Technology, Markets, and Costs," Journal of Non-Crystalline Solids, 186, pp. 372-379 (1995).
	H.-P. Ebert et al., "The Hot-Wire Method Applied to Porous Materials of Low Thermal Conductivity," High Temperature-High Pressures, 25, pp. 391-402, 13 th ECTP Proceedings pp 219-230 (1993).
	S. Hæreid and M.-A. Einarsrud, "Mechanical Strengthening of TMOS-Based Alcohols by Aging in Silane Solutions," Journal of Sol-Gel Science and Technology, 3, pp. 199-204 (1994).
	L.W. Hrubesh and R.W. Pekala, "Thermal Properties of Organic and Inorganic Aerogels," Journal of Materials Research, 9(3), pp. 731-738 (1994).
	X. Lu et al., "Thermal and Electrical Conductivity of Monolithic Carbon Aerogels," Journal of Applied Physics, 73(2), pp. 581-584 (1993).
	H.-S. Ma et al., "Mechanical Structure-Property Relationship of Aerogels," Journal of Non-Crystalline Solids, 277, pp. 127-141 (2000).
	R.W. Pekala et al., "Organic Aerogels: Microstructural Dependence of Mechanical Properties in Compression," Journal of Non-Crystalline Solids, 125, pp. 67-75 (1990).
	S.S. Prakash et al., "Silica Aerogel Films Prepared at Ambient Pressure by Using Surface Derivatization to Induce Reversible Drying Shrinkage," Nature, 374, pp. 439-443 (1995).
	M. Prassas et al., "Synthesis of Monolithic Silica Gels by Supercritical Solvent Evacuation," Journal of Materials Science, 19, pp. 1656-1665 (1984).
	G.C. Ruben et al., "High-Resolution Transmission Electron Microscopy Nanostructure of Condensed-Silica Aerogels," Journal of Non-Crystalline Solids, 186, pp. 209-218 (1995).
	G.C. Ruben and R.W. Pekala, "High-Resolution Transmission Electron Microscopy of the Nanostructure of Melamine-Formaldehyde Aerogels," Journal of Non-Crystalline Solids, 186, pp. 219-231 (1995).

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

U.S. DEPARTMENT OF
COMMERCE
PATENT AND TRADEMARK
OFFICEINFORMATION DISCLOSURE
STATEMENT BY APPLICANTATTY. DOCKET NO.
AAC/1 CIPAPPLICANT
Donald F. Albert et al.FILING DATE
October 4, 2001APPLICATION NO.
09/972,163CONFIRMATION
NO.
5897GRANT NO.
1771

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

RECEIVED
JAN 28 2002
TC 1700EXAMINER
INITIAL

G.W. Scherer, "Stress Development During Supercritical Drying," Journal of Non-Crystalline Solids, 145, pp. 33-40 (1992).

H. Tamon et al., "Porous Structure of Organic and Carbon Aerogels Synthesized by Sol-Gel Polycondensation of Resorcinol with Formaldehyde," Carbon, 35, pp. 791-796 (1997).

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

Nina R. Horan

Marta E. Gross (Reg. No. 33,504)

Pablo D. Hendler (Reg. No. 40,015)

Attorneys for Applicants

Nina R. Horan (Reg. No. 47,662)

Agent for Applicants

FISH & NEAVE

Customer No. 1473

1251 Avenue of the Americas

New York, New York 10020-1104

Tel.: (212) 596-9000

I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to: ASSISTANT
COMMISSIONER FOR
PATENTS

P.O. BOX 2327
Arlington, VA 22202 on

January 22, 2002
Claire P. Saintly

[Signature]
Signature of Person Signing



RECEIVED

JAN 28 2002

TC 1700

AAC/1 CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Donald F. Albert et al.
Application No. : 09/972,163 Confirmation No.: 5897
Filed : October 4, 2001
For : ORGANIC, OPEN CELL FOAM MATERIALS, THEIR
CARBONIZED DERIVATIVES, AND METHODS FOR
PRODUCING SAME
Examiner : Not yet assigned
Group Art Unit : 1771

New York, New York
January 22, 2002

Hon. Commissioner
for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants, through their
attorney, make of record the following documents:*

United States Patents

Broge	2,680,696	June 8, 1954
Winings	4,239,567	December 16, 1980
Gahmig	4,243,717	January 6, 1981
von Dardel et al.	4,402,927	September 6, 1983
Tewari et al.	4,610,863	September 9, 1986
Arnold, Jr., et al.	4,832,881	May 23, 1989

* For the convenience of the Examiner, a completed Form PTO-1449, listing these documents, is attached.

Pekala	4,873,218	October 10, 1989
Smits et al.	4,997,706	March 5, 1991
Parkinson	5,190,987	March 2, 1993
Hahn et al.	5,229,429	July 20, 1993
Mayer et al.	5,358,802	October 25, 1994
Mayer et al.	5,420,168	May 30, 1995
Pekala	5,476,878	December 19, 1995
Macip-Boulis et al.	5,525,643	June 11, 1996
Kaschmitter et al.	5,529,971	June 25, 1996
Heinrichs et al.	5,538,931	July 23, 1996
Pekala	5,556,892	September 17, 1996
Deshpande et al.	5,565,142	October 15, 1996
Grinshpun et al.	5,654,345	August 5, 1997
Coronado et al.	5,686,031	November 11, 1997
Pekala	5,744,510	April 28, 1998
Pajonk et al.	5,795,557	August 18, 1998
Jansen et al.	5,811,031	September 22, 1998
Hair et al.	5,851,947	December 22, 1998
Shmidt et al.	5,869,544	February 9, 1999
Biesmans et al.	5,889,071	March 30, 1999
Droege	5,945,084	August 31, 1999
Coronado	5,958,363	September 28, 1999
Glenn et al.	5,958,589	September 28, 1999
Mendenhall et al.	6,077,876	June 20, 2000
Hammel et al.	6,121,337	September 19, 2000
Eling	6,147,134	November 14, 2000
Miller et al.	6,187,831 B1	February 13, 2001

FOREIGN PATENT DOCUMENTS

France	FR 2,230,406 A	December 12, 1974
Japan	JP 02092860	April 3, 1990
PCT	WO 99/32218	July 1, 1999

ARTICLES

Lawrence Livermore National Labs Materials, Science Bulletin
UCRL-TB-117598-37.

Materials Research Society Bulletin, vol. 15, no. 12 (December 1990).

G. Carlson et al., "Aerogel Commercialization: Technology, Markets, and Costs," Journal of Non-Crystalline Solids, 186, pp. 372-379 (1995).

H.-P. Ebert et al., "The Hot-Wire Method Applied to Porous Materials of Low Thermal Conductivity," High Temperature-High Pressures, 25, pp. 391-402, 13th ECTP Proceedings pp 219-230 (1993).

S. Hæreid and M.-A. Einarsrud, "Mechanical Strengthening of TMOS-Based Alkogels by Aging in Silane Solutions," Journal of Sol-Gel Science and Technology, 3, pp. 199-204 (1994).

L.W. Hrubesh and R.W. Pekala, "Thermal Properties of Organic and Inorganic Aerogels," Journal of Materials Research, 9(3), pp. 731-738 (1994).

X. Lu et al., "Thermal and Electrical Conductivity of Monolithic Carbon Aerogels," Journal of Applied Physics, 73(2), pp. 581-584 (1993).

H.-S. Ma et al., "Mechanical Structure-Property Relationship of Aerogels," Journal of Non-Crystalline Solids, 277, pp. 127-141 (2000).

R.W. Pekala et al., "Organic Aerogels: Microstructural Dependence of Mechanical Properties in Compression," Journal of Non-Crystalline Solids, 125, pp. 67-75 (1990).

S.S. Prakash et al., "Silica Aerogel Films Prepared at Ambient Pressure by Using Surface Derivatization to Induce Reversible Drying Shrinkage," Nature, 374, pp. 439-443 (1995).

M. Prassas et al., "Synthesis of Monolithic Silica Gels by Supercritical Solvent Evacuation," *Journal of Materials Science*, 19, pp. 1656-1665 (1984).

G.C. Ruben et al., "High-Resolution Transmission Electron Microscopy Nanostructure of Condensed-Silica Aerogels," *Journal of Non-Crystalline Solids*, 186, pp. 209-218 (1995).

G.C. Ruben and R.W. Pekala, "High-Resolution Transmission Electron Microscopy of the Nanostructure of Melamine-Formaldehyde Aerogels," *Journal of Non-Crystalline Solids*, 186, pp. 219-231 (1995).

G.W. Scherer, "Stress Development During Supercritical Drying," *Journal of Non-Crystalline Solids*, 145, pp. 33-40 (1992).

H. Tamon et al., "Porous Structure of Organic and Carbon Aerogels Synthesized by Sol-Gel Polycondensation of Resorcinol with Formaldehyde," *Carbon*, 35, pp. 791-796 (1997).

Some of the documents listed above were cited in an International Search Report that issued in connection with International PCT application PCT/US01/40464, which is the counterpart to United States patent application 09/809,793, from which the present application claims priority. For the Examiner's convenience, a copy of the Search Report is attached hereto.

This Statement is being filed before the issuance of an Office Action on the merits in the present application. Accordingly, no payment of fees is required pursuant to 37 C.F.R. § 1.97(b)(3).

Applicant respectfully requests that these documents be (1) considered by the Examiner prior to issuance of any patent from this application; and (2) printed on

any patent that may issue from this application. Applicant also requests that a copy of enclosed Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Respectfully submitted,

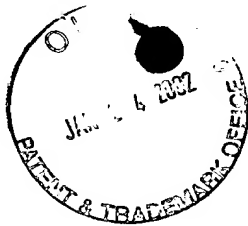
Nina R. Horan

Marta E. Gross (Reg. No. 33,504)
Pablo D. Hendler (Reg. No. 40,015)
Attorneys for Applicants
Nina R. Horan (Reg. No. 47,662)
Agent for Applicants

FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1104
Tel.: (212) 596-9000

I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to: ASSISTANT
COMMISSIONER FOR
PATENTS - P.O. Box 2327
Arlington, VA 22202

January 22, 2002
Charles J. Saint
Signature of Person Signing



1771

AAC/1 CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Donald F. Albert et al.
Application No. : 09/972,163 Confirmation No.: 5897
Filed : October 4, 2001
For : ORGANIC, OPEN CELL FOAM MATERIALS, THEIR
CARBONIZED DERIVATIVES, AND METHODS FOR
PRODUCING SAME
Examiner : Not yet assigned
Group Art Unit : 1771

RECEIVED

JAN 28 2002

TC 1700

New York, New York
January 22, 2002

~~17~~
6

Hon. Commissioner
for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the
above-identified application. This Statement is submitted:

- ☐ within three months of the application filing date;
☒ more than three months from the application filing date but
before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement
requires no fee. However, if for any reason a fee is due, the Director is hereby
authorized to charge payment of any fees required in connection with this Information